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# The Federal Granting System



## A Guide for Local Governments in Massachusetts

Cooperative Extension Service, University of Massachusetts, United States  
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# The Federal Granting System

A Guide for Local Governments  
in Massachusetts

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Executive Department  
James L. Sullivan  
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April, 1978

The skills required of public sector managers today are many and varied, but none is more important than the art of grant writing. Faced with the need of managing complex systems with limited resources, those who are familiar with the opportunities and the procedures for expanding those resources clearly have a decided advantage over those who do not.

The need for capacity building in the federal grant process for municipal officials, civic groups, non-profit agencies, and academic institutions has up to now been largely unmet in Massachusetts. With the publishing of this book, the authors have provided a clear, concise primer on the grant process which should prove invaluable to all who are interested in improving their skills in this area.

For many years the federal grant process was considered by many to be the sole prerogative of the professional "grantsman." Applications had to be prepared by professionals and reviewed by professionals, and the programs were considered to be beyond the reach of the layman. Over the years however, the programs have evolved and expanded, become more commonplace, and less foreboding and mysterious.

By carefully following the procedures outlined in this book, anyone who understands the goals of his or her organization can seek out opportunities to expand limited resources and successfully develop a proposal for funding. The authors are to be commended on describing a complex subject in a manner which all can understand.

James L. Sullivan  
City Manager  
Cambridge, Massachusetts

President—Massachusetts League of  
Cities and Towns



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## WHY NOT APPLY FOR A FEDERAL GRANT?

The federal government of the United States is the single largest source of grant assistance in the world. Chances are that if you are seeking funding for your community, civic group, or other organization, you will consider federal assistance before any other kind. Before applying for a federal grant, however, you should be well aware of the implication for your group or town, whether or not your project is funded.

First, the application process itself is time and money consuming. You should only consider applying for grants to fund projects for which there is a clearly established need in your community. In many cases, community support before *and* after the project is funded is an integral factor in the success and acceptance of your proposal. Do not commit community resources unless you are sure they will be available for the duration of the project.

Second, do not invest time in a grant proposal unless you can afford to have it rejected. Whether you select a funding source which specifically meets your needs, or tailor your project to an existing program, be sure that you are prepared to take the time necessary to write a good proposal, and that your organization can bear the financial brunt of failure should your program not be funded. Many organizations and local units of government have budget categories just for grant writing. In any case, be aware that grant writing is not a frivolous pastime, and that a "shotgun" approach of submitting many, shoddy applications will only waste time and discredit your organization.

Third, since the dollars which are obtained through a federal grant are public monies collected from tax payers, there are many restrictions and restraints on their use. The variety of rules and regulations surrounding the expenditure of federal assistance funds make many demands on the the grant recipients, and you must be prepared at the outset to fulfill the accountability requirements. And, as already mentioned, your town or group should be fully prepared to match federal resources if your project is funded. Match may be "soft" (personnel, equipment, facilities) or "hard" (cash), but be sure that everyone involved is ready and willing to contribute if need be. You should also make provisions for the continuation of any on-going projects once federal assistance has ended. Make sure that your organization can absorb program costs, if necessary, or be prepared to phase out the operation and forewarn any personnel you hire of this eventuality!

In short, applying for federal funds can be tedious and time-consuming. Obtaining federal funds can be equally demanding of energy and patience in dealing with grant requirements. But it can also be highly rewarding, and an answer to some of your community's needs. The more time and care you invest in preparing a grant proposal, the greater your chances of success in securing funds, and, ultimately, in implementing your project. If you are still interested, then this manual will, we hope, help you understand some of the details and surmount some of the obstacles in your pursuit of federal assistance.





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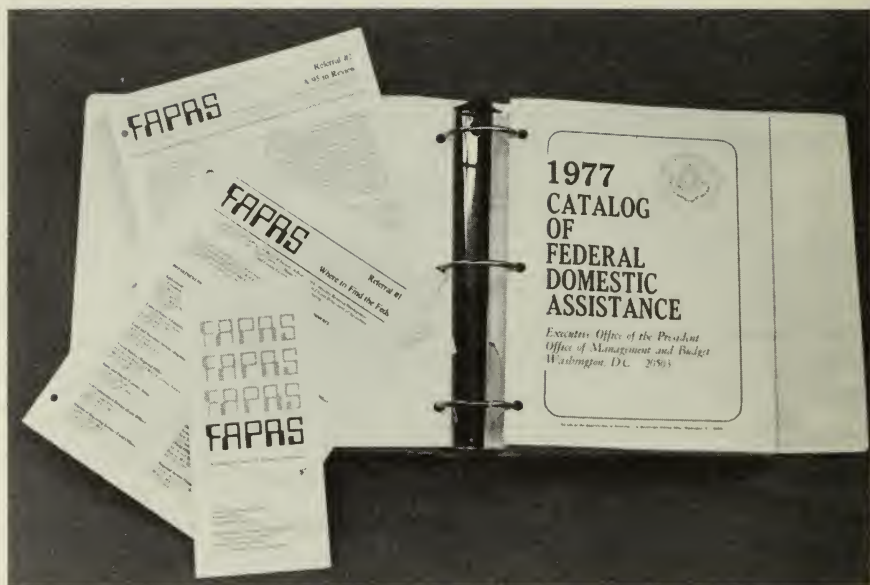
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# Background Information

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## THE GRANT PROCESS — CONGRESSIONAL ORIGINS

The federal granting process begins in Congress with the passage of legislation authorizing the creation of a grant program, and the subsequent appropriation of funds. The process culminates in the awarding of a grant to a group, agency, or individual by a department of the federal government, or the dissemination of federal funds by a state agency.

The authorizing legislation creates the grant program and establishes the funding ceiling (upward limit on money to be spent) for it, but does not actually supply money. Funds must be appropriated through a separate bill, and rarely does Congress authorize as much money to be spent as is requested in the original legislation!

Once the actual funds have been secured, the federal department or agency which will administer the grant informs prospective grantees of the availability of program monies. If the program is new, the agency must publish proposed regulations in the *Federal Register*. R.F. P.'s (Requests for Proposals) are advertised in the *Commerce Business Daily*, and the *Catalog of Federal Domestic Assistance*, published biannually, lists and describes approximately 1100 federal grant programs. Grant information is also routinely sent to state agencies, educational institutions, and current grantees. There are many other formal and informal channels of funding information which have recently become accessible to the public through the passage of the Freedom of Information Act.

Unfortunately, this is a highly simplified view of the federal granting system. A multitude of administrative procedures accompanies every step of the process, and, at times, the intent of Congress in initiating a grant program can seem very remote indeed. This manual is designed specifically to de-mystify the federal grant process for the non-professional grant writer, and to help realize those original good intentions and goals. Familiarity with the system will, we hope, banish unwarranted intimidation and reluctance to apply for federal funds, and will eventually encourage a more equitable distribution of federal assistance.

## TYPES OF GRANTS

There are two basic types of federal grants - project and formula. Project grants are awarded on a competitive basis to fund specific activities; formula grants are allocated according to statutory distribution guidelines for unspecified,

on-going activities. "Project grant" is roughly synonymous with "categorical grant"; prior to 1966, nearly all federal assistance to state and local governments was provided through categorical, or highly specialized, grant programs. Since then, with the enactment of block grants, formula grants, and general revenue sharing, there has been an increasing mix in the federal aid system. As a result of this diversification, the distinctions between different types of grants are not always clear; the situation is further aggravated by the fact that many new programs are comprised of (or are variations on) old programs, so that both old and new are defined in terms of each other. This leads to some circularity of thought and understandable confusion. It is important, however, to understand the distinctions between different types of grants in order to quickly identify those which are especially suited to your needs. The form of a grant can also provide a hint as to what the national government's intent was in enacting it, and give you an initial indication of how much control the granting (or "cognizant") agency will have over administration and finances once an award is made. (For example, "open-ended" grants assign virtually no discretionary authority to administering officials, and are usually aimed at nationwide, rather than specifically local, problems.)

The *Catalog of Federal Domestic Assistance* classifies all grants (of the sixteen different types of assistance it lists) as either "Formula" or "Project," with little or no reference to the terms "categorical" and "block." Project grants are further broken down in the *Catalog* by function, such as training, demonstration, planning, construction, etc. Do not become confused by the seemingly arbitrary reference to grants by functional description or by legislatively-designated type, i.e., formula, block, etc. As has already been pointed out, distinctions between types of grants frequently overlap, so that a training grant may also be a project and a formula grant. The most important thing to distinguish is which grant can do the most for your community.

We will begin our discussion, then, with categorical grants, as they are the prototypes of the federal granting system.

Categorical Grants still provide state and local governments with the bulk of federal aid money. There are now approximately 400–500 funded categorical programs, which are divided into four basic types: project, formula-project, formula-apportioned, and open-ended reimbursement grants.

Project grants (approximately 296) require specific applications for each proposed project, with awards made by the administering agency on a competitive basis. The administering officials usually have greater authority over the use of program monies for project grants than for any other type of federal grant.

Formula-project grants are made available to states according to uniform allocation formulas, and are then awarded individually in the same way as other project grants. (There are only about thirty-six formula-project grants in all.)

Formula-apportioned grants (approximately 106) are distributed directly to recipients according to formulas contained in the authorizing legislation.

Open-ended reimbursement is a cost-sharing arrangement wherein the federal government commits itself to reimbursing a specified proportion of state-local program costs. There is no competition and no allocational formula, as such, for this type of assistance; moreover, management practices are usually dictated in the Congressional legislation, leaving little or nothing to the discretion of administering officials. Aid for Dependent Children is an example of an open-ended reimbursement program.

Block Grants are a relatively new phenomena; they usually combine several previously categorical grants in single, more flexible programs which allow greater spending initiative at the local level. Although the term "block grant" is used quite loosely to refer to many different programs, it is most commonly associated with the Partnership for Health Act (1966), the Omnibus Crime Control and Safe Streets Act (1968), the Comprehensive Employment and Training Act (1973), the Housing and Community Development Act (1974), and the 1974 amendments (Title XX) to the Social Security Act of 1935. Block grants are, by definition, formula grants and are utilized largely at the discretion of the recipients. They may, in some cases, be subclassified as Entitlement or as Discretionary grants:

Entitlement grants guarantee metropolitan cities (population 50,000+), urban counties (population 200,000+) and cities under 50,000 population which are centrally located in Standard Metropolitan Statistical Areas (SMSA's) amounts of money calculated by a formula based on local need. Entitlement funds automatically take into account such factors as population, poverty, and overcrowded housing, and distribute federal money accordingly.

Discretionary grants are "left-over" entitlement funds awarded on a competitive basis to smaller communities. They correspond roughly to project grants, and are intended, in many cases, to bridge the gaps between old categorical programs and the new block grants. Discretionary funds are also set aside for aid in federally recognized disasters, for innovative projects, and for the continuation of expired categorical programs which are not eligible for block grant funds. (The latter are called "hold harmless" grants, and continue funding to local governments for three years in order to complete projects already under way.)







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# Preapplication

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## THE PROPOSAL-WRITING STAFF — ORGANIZATION AND RESPONSIBILITIES

The development of many grant proposals is a group project, and in many small towns, is both a volunteer and a part-time undertaking. There are certain pitfalls to avoid in any collaborative effort, particularly volunteer projects. To begin with, it is usually advisable to establish some sort of hierarchy in the proposal writing staff, as well as in the project's actual administrative staff. This does not preclude group "brain-storming" sessions (often a most effective problem-solving device) or cooperation among staff members. It does, or should, prevent hopeless stalemates over minor issues and time-wasting squabbling. Identify one member of your group to be ultimately responsible for the development of the proposal, and make sure that all other staff members are aware of and in agreement with this designation of authority. Bear in mind, also, that the individual in charge of proposal development should not necessarily be the same individual who is in charge of the program's administrative staff once your project is funded. It is often the case that quite different talents are required for the organization and writing of the proposal than for the implementation of the project. It is also frequently true that a good grant writer is not necessarily an expert in the field of the proposed project. In fact, some distance from the intricacies of the program may be necessary to clearly conceptualize and describe it to others, namely the granting agency officials. Surely, experts should be involved in the preparation of the budget and program design sections of the proposal, but the narrative prose statements of need, goals, and objectives may be better composed by someone in your organization who is more a writer than an administrator.

Similarly, the proposal-writing staff leader may not always be the most likely person to conduct negotiations with funding agency officials. It is sadly the case that administrators usually respond more readily to individuals of similar rank in other organizations; for this reason, the most able proposal writer might not be the best project "salesman." If most of your staff is volunteer, it might be a good idea to designate someone who is a full-time government employee (such as Police Chief or Superintendent of Public Works) to be your major contact person with the granting agency.

However you organize your staff, keep personal ego involvement at a minimum throughout the whole granting process, and remember that different channels of authority should at least be considered for the development, selling, and administration of the grant program.

## SECURING PROGRAM SUPPORT

### Internal

Before you seek external support (financial and otherwise) it is important to be assured of harmony in your organization with regard to your project. If possible, have at least one group meeting before soliciting outside support or submitting your proposal. Try to anticipate difficulties which might arise from uneven participation in the project, the diverting of personnel from normal activities, or from financial drains on your organization, before grant monies have actually been awarded.

Another form of support which can be crucial to your proposal is that of the funding agency itself. Contact program officials early in the application process to ask for their advice, criticism, and support. Familiarity with officials in the agency can only benefit you when you submit your final application, and they are the last word of authority on matters pertaining to your grant proposal.

### External

Securing community support for your program may not only be advisable — it is a compulsory application procedure for many grants. In any case, it is always helpful to have the support of as large a portion of your community as you can muster behind your grant proposal.

A good approach is to develop a preliminary abstract of your project — not more than two or three pages — which you can leave with potentially supportive groups or agencies after you have made personal contact with them.

In small towns, you should attempt to get endorsement from as many affected or involved groups or individuals as possible, including local officials, units of government, service organizations, civic groups, etc. Needless to say, support from your target group (those who will directly benefit from your proposed project) is highly desirable. It is a good idea to solicit opinions from private sectors as well (businesses, clubs, professional and non-professional individuals) whether or not you include them in your application. It will be helpful to you in conceptualizing the indirect, as well as the direct, effects of your project on your community, and in anticipating any issues which might arise during the application review process.

In large towns or cities you will naturally need to be a bit more selective in soliciting support for your proposal. You might ask the funding agency itself for names of organizations which should be involved; also contact community council offices, chambers of commerce, and any public leaders who might be interested in or affected by your project.

Before you approach any agency or individual, be sure you know what degree of involvement you expect from them: letter of endorsement, consulting services, active participation, financial support. It is easier for people to overlook a vague promise than a firm commitment, and you are usually more likely to get what you want when you ask directly for it.

## NEED IDENTIFICATION

The "Statement of Need" that you eventually write for your proposal, should be based on careful study and quantification of the problem you are addressing. This does not mean that it should document your entire research process; rather, it should reflect a thorough knowledge of the problem you propose to rectify, with a judicious selection of facts to document its existence in your community.

Knowing whether or not a need actually exists may not be a problem, but knowing how to present it clearly and forcefully can be. Facts are needed to establish the existence of the problem, and to place it in a historical and geographic context which can be easily understood by those unfamiliar with your community.

The best place to start looking for background information, facts, and statistics about local communities is your Regional Planning Agency. There are thirteen Regional Planning Areas in Massachusetts (see pp. 54—55 for map and directory). R.P.A.'s produce thousands of publications on specific communities, local issues, and problems. County governments, as a rule, publish very little, and what they do put out is usually dated.

The U.S. Bureau of the Census, the Massachusetts Department of Commerce and Development, and the Massachusetts Office of Local Assistance are also excellent sources of information. See "Grant Information Resources: Documentation of Needs," p. 34, for a listing of some of their publications, as well as those of other agencies. Check local colleges, and universities and public or private research firms, too — there is always the possibility that someone has just conducted a survey or study in your field of interest.

After you have exhausted the existing sources of information and background material, it may be necessary to generate data specific to your community and particular problem. Again, your Regional Planning Agency or local County Extension Service will be glad to refer you to (or supply you with) appropriate sources of information on data collection, analysis, and presentation. Canvass your town or area for volunteers to assist with this kind of activity. Help is often in your own backyard; you only have to ask for it.

## DEVELOPMENT OF THE IDEA

### Deciding on a strategy

Once you have organized a staff and pinpointed your needs, you are ready to develop the idea for your project. The strategies you decide upon will be the basis for your entire proposal — "fleshed out," they will be represented by the Need, Objectives, Design, Staff, and Budget sections of the application.

There are two schools of thought on project or idea development: approach A is the initial formulation of an idea followed by a search for an appropriate funding source; approach B is the adaptation of your organization's plans to existing programs or Requests for Proposals.

This distinction between the two approaches is really arbitrary, since most grant programs are probably the product of some combination of the two. We feel that it might be useful to outline the general characteristics of both methods, however, if only to assist you in keeping a clear picture of where you are coming from and where you are going. It can be all too easy to become so involved in details and administrative procedures that you lose sight of your original goals and priorities.

The two approaches, then, are as follows:

#### Approach A

Is an outgrowth of a comprehensive planning process, based on need identification and analysis, followed by thorough research of funding sources.

#### Approach B

Emphasizes minimization of time and effort in many pre-application activities.

May be one of many routine responses to R.F.P.'s.

Depends on a good working knowledge of the federal granting system.

Directs efforts at justifying the need for an existing (or already prescribed) program in a particular locality.

Using one approach or the other is largely a matter of experience, time constraints, and personal style. It is hoped that the background material and references in this text will lead to enough familiarity with the federal granting system to make approach B more accessible to local communities (and to help eliminate the need for professional "grantsmen"), while preserving the care and thoroughness characteristic of approach A.

The time you invest in formulating your idea will naturally depend on whether it is an original concept or a bid for entry into an existing program. However you operate, though, the following strategies and considerations should be included in your project development:

#### Phase I

Meet with all those who will be involved locally in the project. At a minimum, discuss the following questions:

1. What is the need or problem?
2. What is the desired state of affairs (long-range goals)?
3. Why is your organization tackling the problem? Or, why are you the most qualified or appropriate ones to do the job?
4. Who else—other service agency or unit of government—is involved with this, or a similar problem?
5. Why have they been successful/unsuccessful in dealing with it?
6. What can you learn from them?
7. Should this be a collaborative effort with other groups? (This question will help you to determine the scope of the project—financial and otherwise.)



## Phase II

Once you have determined the scope of the project and who will be involved, discuss what you are going to do about it:

8. What are the alternative approaches to the problem?
9. What are the advantages/drawbacks to each?
10. How long will the project take? Should it be done in phases?
11. How much (hard/soft) do you expect from everyone involved, including the granting agency?
- <sup>1</sup>12. How many people will it employ?
- <sup>1</sup>13. How many people will it benefit? (Numbers 12 and 13 may overlap.)
14. What will happen to the project at the end of the funding period? (This consideration should be based on some preliminary idea of the future funding possibilities/requirements of the grant program(s) for which you are applying.) Who will absorb continuing costs if it is to be an ongoing effort?
15. What will the consequences be if the project is not a success? Can any benefit be derived if you don't achieve all of your goals, or is this an "all or nothing" effort?
16. What will your strategy be if you don't get funded this time around?

## Phase III

Write a short (one page) abstract of the proposal to work with, to submit (if necessary) for A-95 review, and to show to granting agency officials and other prospective participants at preliminary meetings. It should include a general description of the need you are addressing, your goals and objectives, simple outline of program design, 1-figure budget, and an estimate of time and staff size. Include the name and title of your Program Director, if you already have one.

Make sure that you remain flexible enough at this point to make adjustments in your plans after initial interviews or A-95 review. The whole point of a preliminary abstract is to open your idea to constructive advice and comment.

## Preapplication Stage—Informal

It cannot be stressed enough that contact should be made and maintained with potential funders as early as possible—they are, after all, the best source of advice on how to apply for their agencies' funds! Model letters of inquiry may be found on pp. 38–40 of the Appendix. You should also make personal contact, if at all

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<sup>1</sup>It is a good idea to incorporate the concepts of "primary and secondary benefits" into your plans and your proposal; it lets the funding agency know that you have considered all angles of your project. Primary benefits are those which directly relate to the target population; secondary benefits occur indirectly as a result of the project, and may affect the entire community or area. For example, the primary benefit of low-cost housing for the elderly is the improvement of living conditions for senior citizens. A secondary benefit might be a higher local employment rate due to construction of the housing units. This is sometimes referred to as the "ripple effect."

possible, and attempt to answer the following questions:

- Why is the funding source sponsoring a grant program?
- What are their objectives?
- Do they mesh with yours?
- Does your program meet any conditions they specify?
- Are they offering enough money?
- Is the program oversubscribed?
- What is their priority rating (Item I of Part II, Standard Form 424) based on?<sup>2</sup>
- Will the application require any approval/clearance? (Items 2, 3, 4, 5 of Part II, Form 424.)
- Most important: What are their suggestions for you? If they are not an appropriate funding source for you, do they know who might be?

## FORMAL PREAPPLICATION

For many grant programs, this is the most crucial phase in the application process. The state clearinghouse in Massachusetts *only* reads the grantee's "Notification of Intent" (to apply) in their A-95 review procedure; similarly, the preapplication procedure for some discretionary grants, such as those offered through HUD'S Community Development program, is the crucial cut-off point—those chosen to make final application usually get funded.<sup>3</sup> In any case, your preapplication (preliminary abstract, project summary, or whatever) should be as arresting and innovative, while still being realistic, as possible.

### A-95 Review

Office of Management and Budget Circular No. A-95 describes the procedure for coordinating federal and federally assisted programs and projects with each other, and with state, regional, and local plans and programs. A-95 review is mandatory for many federal grant proposals, as well as for federal development proposals and a number of other federal assistance programs. A list of the federal programs and projects which are subject to A-95 review may be found in the Appendix of the *Catalog of Federal Domestic Assistance*. Your application packet from the funding agency will indicate whether or not your proposal will be required to undergo A-95 review; be sure to allot plenty of time for this, if necessary, before the final application deadline.

OMB Circular No. A-95 is divided into four major parts, the first of which is described below.

### Part I. The Project Notification and Review System—PNRS

PNRS is intended to prevent conflicts between federal programs or jurisdictions,

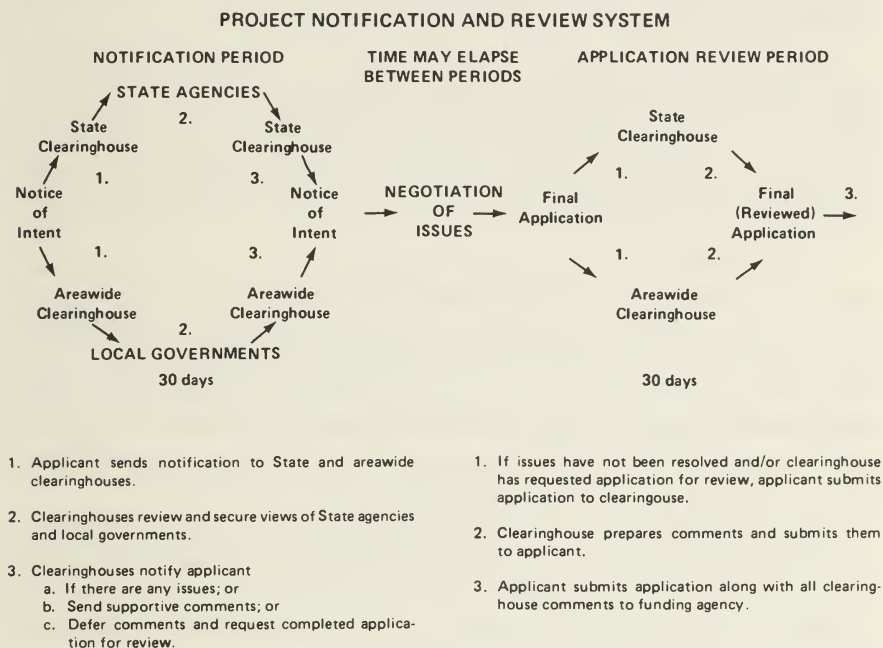
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<sup>2</sup>Agencies rate proposals both by independent merit and by current priorities for different problems. A "perfect" proposal may be useless if it addresses a problem considered low priority by the funding agency.

<sup>3</sup>You will be informed well in advance when this is the case.



thereby helping federal administrators fulfill their obligation to efficiently spend taxpayers' money. It also provides an opportunity for governors, mayors, county officials, and other state and local officials, through clearinghouses (usually Regional Planning Agencies), to influence federal and federally assisted programs and projects that may affect their own plans and program. A-95 cannot insure coordination, but it is designed to create a climate for intergovernmental cooperation in which such coordination is more likely to come about.



A potential applicant for federal assistance first notifies both the state clearinghouse (in Massachusetts, the Office of State Planning; see the Directory, p. 54, for address and phone number) and the appropriate areawide clearinghouse, using a "Notice of Intent" form to describe the proposed project. Some states use federal form 424; Massachusetts, however, has its own "Notice of Intent" form to be used for both the state and local clearinghouses. (See map, p. 54, in the Appendix for the location and jurisdictional areas of the Massachusetts regional planning agencies.) The applicant must also indicate whether or not the funding agency re-

quires an environmental impact statement (EIS) relating to the proposed project.<sup>4</sup>

The areawide clearinghouse then solicits comments from municipalities or agencies whose plans or programs may be affected by the applicant's proposal. In the case of an application submitted by a special purpose unit of local government, such as a housing authority, comments will be solicited from any unit of general local government (selectmen, councillors, etc.) having jurisdiction over the area.

Within thirty days of receiving the notification of intent, the clearinghouse notifies the applicant if there is "no interest," meaning that the application poses no problem to regional planning. If potential problems are recognized, they are brought to the attention of the applicant, and the clearinghouse may arrange a conference with the applicant to discuss questions or issues. A clearinghouse response of "no interest" terminates the applicant's obligation to the clearinghouse, and the applicant may then complete the final application.

If all clearinghouse questions or issues regarding the proposed project have been resolved during the notification phase, the final grant proposal may be submitted to the federal funding agency and the clearinghouse at the same time. If, however, the clearinghouse still has questions about the proposed activity, they are entitled to an additional thirty days review before the application is sent to the federal funding agency.<sup>5</sup>

If a final application reaches the clearinghouse without a previous "Notice of Intent," the clearinghouse is allowed sixty days to review the completed application. As in the notification phase, opinions are solicited from municipalities and agencies having plans or programs that could be affected by the applicant's proposal. If the application generates no further comments, a statement must be attached to the final application noting that A-95 review procedures were followed and no comments were received. All comments that are received must accompany the final application to the funding agency.

The funding agency then considers the application and attached comments, and informs the clearinghouse of action taken thereon (using standard form 424, when appropriate). When a project which a clearinghouse has not recommended is funded, the action notice is accompanied by an explanation to the clearinghouse as to why its recommendations were not followed.

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<sup>4</sup>Any federal project having an effect (beneficial or detrimental) on the environment will probably require an EIS before a funding decision may be made on it. Appendix I of the *Catalog of Federal Domestic Assistance* lists most programs requiring an EIS; if you have any doubts about your particular project, contact the federal agency which administers the grant.

<sup>5</sup>In Massachusetts, the state clearinghouse usually conducts a single 30 day review based entirely on the Notice of Intent. Local clearinghouses have different policies, and it would be wise to acquaint yourself with the practices of the clearinghouse(s) critical to your project before drafting your Notice of Intent or final proposal.

## The Regional Planning Agency's Role

The Regional Planning Agency (RPA) acts as a clearinghouse for comments and recommendations on funding applications affecting any cities or towns within its district. The clearinghouse will try to determine whether opportunities afforded by intermunicipal cooperation have been fully explored, and whether the timing, location, or scale of a project may affect plans and programs other agencies are proposing or establishing. A clearinghouse cannot grant or deny funding assistance—its comments are advisory only, and serve to assist the funding agency in evaluating the project, and the applicant in developing a sound project.

The manner in which a clearinghouse conducts its reviews is discretionary, though time constraints must be adhered to, and a conscientious effort made to identify jurisdictions and agencies whose plans and programs might be affected by the proposed project.

State clearinghouses serve a similar function in insuring that plans and programs requesting federal assistance are in harmony with the state's ongoing and contemplated plans and projects. They are designated by the governor; in Massachusetts, the state clearinghouse is the Office of State Planning. For more information on A-95 Review, contact Kirk Danforth (address and phone number in the Directory, p. 52).

## Obligatory Reviews

Clearinghouses have three obligatory referrals (in addition to local chief executives' review requests). They are:

1. To state and local agencies for projects which may require environmental impact statements.
2. To state and local civil rights agencies.
3. To Coastal Zone management agencies.



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# Application

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The Preapplication stage of the grant-writing process is complete—you have identified your needs, selected a funding source, developed your plans, and completed any necessary preapplication review procedures. Now you simply have to convince the granting agency that your project is indispensable, your plans flawless, and your organization unquestionably suited to the job!

Much of the advice we offer in the forthcoming “Application” section is aimed at improving your writing skills in general, and your grant-writing skills in particular. Perhaps the most valuable piece of advice we have is “remember your audience.” You are writing for people who, in all likelihood, are unfamiliar with you or your project. Strive for precision and brevity, and continuously ask yourself whether information you include is relevant. You can be sure that the proposal reviewing staff will be grateful for the hard writing you have done to make their reading easy.

The “Application” section is divided into six short chapters, one for each part of the grant proposal: needs, objectives, program design, budget, staff, and evaluation.

## STATEMENT OF NEED

Your Statement of Need is a preface to the rest of your proposal; it outlines why you want to carry out the project you will later describe in the “Objectives” and “Design” sections of the proposal. You can prepare the way for a logical transition to these sections by clearly defining—through numbers, statistics, etc.—the scope of the problem you are tackling. Be specific, avoid extraneous detail, and, above all, be realistic. There is no point in documenting a problem for which there is no possible solution.

For example, you might say:

“Forty-seven percent of all citizens 65 years of age or over in Hampshire County are currently without transportation facilities to hospitals or health clinics, either for routine, preventative care or for emergency treatment,”<sup>6</sup>

rather than,

“It is deplorable that the elderly, who are frequently in need of medical

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<sup>6</sup>This “data” is entirely fabricated.



treatment, are usually the least mobile members of society.”

The first statement outlines a problem which can be solved, i.e., through your grant program. The second statement is a personal value judgment about the obviously ineradicable problem of physical frailty in old age.

It can sometimes be to your psychological advantage to inject a note of urgency in your Statement of Need:

“This is our last chance to do something about this problem!”

You will have to use your common sense about this, however, as there are some problems which will probably never get much worse *or* go away.

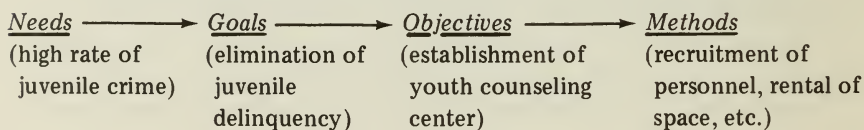
You also might include individual examples to dramatize your point, but be sure to avoid exaggerating or preaching. Let the facts speak for themselves. If you have done your homework well, they will. Do not include exhaustive case studies or data analyses; if you feel that they are absolutely essential, include them in an appendix. Remember, your proposal may be one of hundreds, or even thousands; do not burden funding agency reviewers with more information than they need to make an educated decision on your application. Aim for a presentation of facts that is precise, easy to read, and logically connected to your proposed project.

Leave no doubt in the reader’s mind that a serious problem exists, and that your organization is qualified to solve it (with a little financial assistance!)

## OBJECTIVES

Your objectives state what it is that you hope to achieve through your project. They should be a logical response to your preceding Statement of Need, and should prepare the way for a smooth transition to a discussion of your program design.

For the sake of clarity, objectives should be subdivided into long-range aims, or goals, and short-range activities, or objectives. Goals are more theoretical than objectives; they refer to such essentially unrealistic aims as full employment or the elimination of juvenile delinquency. Objectives refer to the concrete measures taken to achieve goals; they specify exactly what will be done to eradicate as much of the problem as is feasible. Goals, then, are the transition between needs and objectives, and objectives are the transition between goals and the program design or methods:



Your statement of goals should identify the target population, the benefits you hope to bring to them, and the conditions of success of the project. Objectives define the mechanics of achieving the goals.

Clearly defined objectives will help you to write a coherent outline of program



methods. Knowing exactly what you want to achieve productively limits your options in ways to achieve it; it forces organization of effort and efficiency of design. Your objectives should be brief, specific, and quantifiable; the hallmark of a good proposal is a clearly defined objective capable of being evaluated.

The two key elements of objectives are performance and conditions:

Performance names the activity or series of activities undertaken to achieve goals. Example:

We will build low-income housing units in the Longview area of Middleville.

Use action words to describe the performance you expect. Stick to active, transitive verbs (subject → verb → object) and avoid vague, passive sentences ("It is hoped that . . ." "Some feel . . ." "It could be argued . . ."). Try, also, to use laymen's terms, and avoid such technical jargon as "inputs," "outputs," "thrust," etc. They are all too common in business and government writing, and you want your proposal to stand out.

Conditions indicate the successful completion of activities; factors such as time or numbers are frequently cited as conditions of success.

Example:

We will build twenty-five units of low-income housing in six months; at that time approximately one half of these units should be ready for occupancy, with central heat, plumbing, etc.

The conditions you impose should be simple, clear-cut, and quantifiable. Opinions may differ as to what terms such as "ready for occupancy" imply, so it is up to you to specify as unambiguously as possible what you mean.

Final note: some people (particularly fluent speakers of governmentese) refer to objectives and goals as "process objectives" and "program objectives." Process objectives refer to the means, and program objectives refer to the ends, or final product. These terms are useful only inasmuch as they help you to clarify your own goals and objectives.

## PROGRAM DESIGN

The design, method, or approach section of your proposal narrative outlines how you intend to implement your program. Needless to say, you should not attempt to work this out on paper the night before the application deadline. If you have thoroughly defined the problem and your solution to it, you should, by now, have some concrete plans and strategies worked out. It remains for you to clearly explain and justify your approach to the granting agency.

Most agency officials respond more readily to innovative ideas and to pilot programs which, if successful, can be easily replicated in other areas. If your project offers something new, emphasize it; of particular appeal are programs which cleverly utilize existing resources to solve problems. Show the granting agency that you have worked hard to devise a program which will yield the greatest possible return for their investment. Your design should have no loopholes or mysteries in it—you do not want to convey the impression that you expect a blank check to

cover all of your experiments and false starts.<sup>7</sup> In short, the needs and objectives sections of the proposal focus on the target group; the design section focuses on you. Make sure you are prepared for the close scrutiny your plans (and your organization) will undergo.

It is best to start writing your narrative in general terms, proceeding gradually to a more detailed breakdown of your program's major components. It is always a good writing strategy to convey as much of your basic idea as possible in your first paragraph, if not in your first sentence. Get to the point, and make the reader want to read on.

Tight organization of ideas is also essential for easy reading. Make a logical outline for your discussion, and stick to it. Decide what "theme" you are going to organize your discussion around, and fill in your ideas where appropriate. For example, you might describe the sequence of activities chronologically, using time as your theme. You might also organize your approach by objectives, analyzing how you will address each task individually. Or you can discuss activities by function, grouping the same kinds of things together—for instance, construction, research, public relations, etc. Whatever you do, however, be consistent; continuity in your writing will indicate a logical mind behind the proposal. Do not, however, get so bogged down in the outline that you can't write the proposal! Keep your outline short and simple, and your narrative will almost necessarily be tight and succinct.

Use the budget forms in your application packet as a checklist of details to be included in your narrative. For instance, staff, equipment, rentals, travel, etc., should all be discussed as part of your program design if they are integral to the project.

Finally, be sure to discuss alternative approaches to the problem, and explain why you have chosen yours. Taking the initiative in this way will prevent your having to defend your program design at a later stage in the game, and will assure proposal reviewers that you have chosen the most effective and appropriate solution to the problem.

### TIME IS MONEY!

Time is a crucial element in any grant proposal. It is very important to make sure that you allot enough time for all of your activities, and that you clearly depict your anticipated schedule in the proposal narrative.

In particular, be sure to allow time for such easily overlooked activities as:

1. Any development of the project design that must wait until funding begins, i.e., that requiring expensive consulting services or equipment.
2. Recruiting or training of new personnel.

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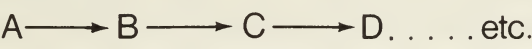
<sup>7</sup> Along these same lines, you should be prepared to start immediately if funded, since most grant programs have rigid time limits; the program ends when the funding period is over, not when the project is completed.

3. Negotiating with any cooperating or participating agencies.
4. Periodic and final evaluations, and any conferences, data collection, analysis, and reports they may entail.

There are many different ways to depict time in your proposal. You can stick to a straight narrative, or combine narrative and graphic representation. The latter approach is usually the most effective and easily understood, particularly if many activities will take place simultaneously.

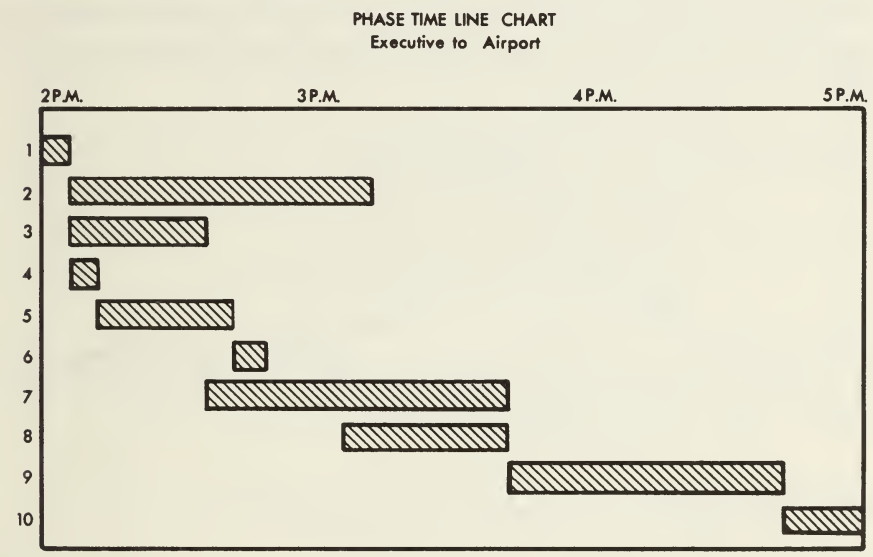
Graphic representation of time can be done in many ways, depending on the complexity of your project. Following are some of the most common methods:

1. Straight Chronology—this is the simplest method, with single events succeeding each other in a straight line:



This is sometimes referred to as the “milestone” method; it is usually not appropriate for any but the most basic projects, since it does not represent any interdependence of activities.

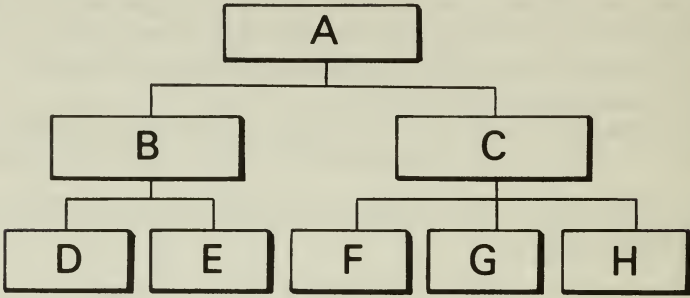
2. Phase-time Line—This method depicts simultaneous occurrence of different activities, but does not indicate interdependence.



**Task Identifications**

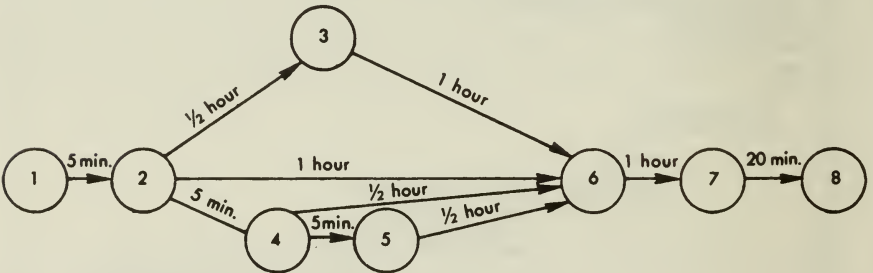
- |   |                                   |
|---|-----------------------------------|
| 1 Executive calls housekeeper<br>gives secretary instructions | 7 Housekeeper delivers suitcase   |
| 2 Executive completes report                                  | 8 Cab drives to office            |
| 3 Housekeeper packs suitcase                                  | 9 Executive takes cab to airport  |
| 4 Secretary makes reservation                                 | 10 Executive checks in for flight |
| 5 Secretary picks up tickets                                  |                                   |
| 6 Secretary calls cab   |                                   |

3. Flow Chart—This method shows, to a degree, the relationship between events: which ones occur simultaneously, which ones precede others, etc.



4. PERT—Project Evaluation and Review Technique. This system is the most sophisticated; it fully depicts the relationships and interdependencies of your project elements. A PERT network is composed of *events* and *activities*. An event is the start or completion of an activity; it is not composed of time, personnel, or other resources. An activity is a task or job utilizing personnel and resources over time.

PERT CHART,  
Executive to Airport



#### Activity Identifications

- 1-2 Executive calls housekeeper, gives secretary instructions
- 2-3 Housekeeper packs suitcase
- 2-4 Secretary calls cab
- 2-6 Executive completes report
- 3-6 Housekeeper drives to office with suitcase
- 4-5 Secretary makes reservations
- 4-6 Secretary picks up tickets
- 5-6 Cab drives to office
- 6-7 Executive takes cab to airport
- 7-8 Executive checks in for flight



## BUDGET

The budget is perhaps the most vulnerable part of your grant proposal. It will probably undergo the most careful scrutiny, and is the area for which you will be held most accountable. Thus, it is essential that you take time and care in preparing your program budget. Remember that it is a working document—you are not merely filling numbers in spaces, but committing yourself to a comprehensive financial plan. Be realistic, and be prepared to live with it once you submit your proposal.

Federal grant programs have very strict guidelines for budget-related items such as cost sharing and indirect cost rates. In particular, FMC 74-4 defines the regulations for determining direct and indirect cost rates for all federally supported programs and projects. Very simply, direct costs are those which are directly related to the project; indirect costs benefit more than one activity. (For instance, if your project will be housed in office space presently leased by your organization, rent may be considered an indirect cost since you are not leasing new space just for this project.) FMC 74-4 requires that you establish a standard indirect cost rate to be applied to every item in your project's budget. This is simply the ratio of indirect costs to specific direct costs, such as salaries. If your direct cost for salaries is \$100,000 and your indirect cost rate is 14 percent, the total indirect cost for salaries is \$1400. The point is to be consistent; sloppiness in treating an expense as both a direct and an indirect cost may very well result in a disallowed claim (i.e., no money at all). It is therefore crucial that you be familiar with FMC 74-4 guidelines before you attempt to compute your budget.<sup>8</sup>

If your organization has an accounting department, you will surely want to involve them in drafting the budget of your proposal. If not, you should consider hiring an accountant or other financial consultant to advise you.

Assuming that you will have professional help in computing actual costs, keep in mind the following general points while writing your budget:

1. Be sure to clear up any questions you have with the funding agency before you submit the proposal.
2. Do not leave any items on the budget sheets blank; enter zero (0) if the category does not apply, and explain why it doesn't in the budget narrative section.
3. Make sure that all of the costs you itemize are comparable to those of other, similar programs, or be prepared to explain why in the budget narrative.

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<sup>8</sup>HEW has published a very handy booklet called *A Guide For State And Local Government Agencies; Cost Principles And Procedures For Establishing Cost Allocation Plans and Indirect Cost Rates For Grants And Contracts With The Federal Government*. It contains FMC 74-4, describes the process of indirect cost determination, and lists specific allowable costs. It also contains a question and answer section, and is generally invaluable for the neophyte grant-writer. (See Directory, p. 53, for the address of HEW.)

4. Find out what the minimum/maximum support levels of the funding agency are, and make sure you are within these limits. Remember to compute (and fill!) any matching requirements the agency may have.
5. Don't over or underestimate in an attempt to "second-guess" proposal reviewers. In other words, don't assume that you can bargain up or down once you are funded; it is better to be as realistic as possible in the first place.
6. If possible, look over comparable grant program budgets before you draft your own; the Freedom of Information Act allows you to review all prior fiscal year proposals.

Below are listed some hints for specific budget categories:

#### Personnel

Follow the standards for documentation of payrolls set forth in FMC 74-4's allowable cost principles. For example:

*Project Supervisor — 100% of time for 12 months at \$1500./month.*

Also, be sure to compute all fringe benefits (vacation time, insurance, unemployment compensation, etc.) in either your direct or indirect cost rate. Remember to itemize all volunteer work hours just as you do paid time—it is your "in-kind" contribution.

#### Contracts

Contracts for services, such as those for consultants or subcontracts to a third party, require the approval of the grantor. If the proposed contract is specified in the application, you may usually assume that approval is granted if the project is funded. (See "Staff," next page, for more discussion of consulting services.)

#### Construction/Renovation

Construction is allowable only when the program legislation includes specific construction authority. Alteration and renovation costs that do not constitute construction are allowable, though they, too, are usually subject to agency limitations.

#### Travel

Travel is a budget item which tends to be regarded suspiciously by proposal reviewers. Be sure to thoroughly justify all travel expenses you consider necessary in the budget narrative. (It goes without saying that you will not pad your budget with frivolous junkets for you and your friends.)

#### Equipment and Supplies

List equipment and supplies by function (office, instructional, etc.) and find out beforehand whether you will be allowed to make major, i.e., very expensive, purchases. Find out whether any equipment you do purchase becomes government property, as is sometimes the case. Don't forget to itemize "little" things like paper, typewriter ribbons, etc., which can add up tremendously. Postage and freight can become quite considerable, too. (This may be considered a separate item in some cases.)



## Other

This is a catch-all for items that do not fit comfortably in other cost categories, but have been identified as costs in your budget. Check to make sure that they are allowable, and under what conditions.

## STAFF

The staff section of the proposal is intimately related to the budget, since most grant projects not involving construction spend roughly 80 percent of their program funds on personnel salaries. It is therefore doubly important to make sure that your staff plan is efficient and streamlined, while still being adequate.

Before you design your program staff, it is a good idea to consider how it will relate to your existing organizational staff, if you have one. Will you need to recruit and/or train new personnel? If present staff members will be involved in the new program, what effect will this have on existing operations and projects? Many mundane, "hidden" activities (such as clerical work) are more time consuming than most people realize. Make sure you are not placing an unreasonable burden on existing personnel, particularly those who will not receive credit for the completed project!

Don't introduce any new positions in the staff section of the proposal that you haven't already generally indicated in your program design. Indicate what selection process you will use for new personnel, and provide job descriptions and expected qualifications for key positions. Remember, too, that you must comply with Affirmative Action guidelines in your hiring procedures for federal programs. Check with the funding agency on any questions you have regarding your particular project or area, or contact the Office of Federal Contract Compliance. (See the Directory, p. 52, for address and phone number.)

You should have determined, by now, whether your project will need a general administrator or a specialist for a director. Granting agency officials are usually more receptive to proposals in which project directors are identified, particularly if they are specialists. You should supply vitae of key staff members who have already been chosen, stressing any particular qualifications they may have for their jobs.

As has already been mentioned in "The Budget," volunteers are considered staff members, and should be treated as such in your application. Federal agencies assign uniform values to volunteer work hours for different types of jobs; however, if your volunteers are normally highly paid professionals, indicate as much in your proposal. Any volunteer work that you pledge must be performed and documented, so do not lightly promise anything you might not be able to deliver.

The use of consulting services should also be treated thoughtfully. Proposal reviewers are highly sensitive to extraneous positions in staff plans, so be sure that you actually do need to pay for professional consulting services before you include them in your staff or budget sections. If you are unsure about the use of consultants in general, the Cooperative Extension Service has published a handy

booklet called *Selecting Consultants for Community Development* (Extension Service, USDA, Program Aid No. 1078), which you can order for .25 from the Superintendent of Documents in Washington or your County Extension office.

## EVALUATION

It is critical to the success of your application that the success of your project be easily measured. Your evaluation plan details how you intend to do this. Many granting agencies issue general provisions for programs requiring evaluation processes; naturally you should follow such guidelines if they apply to your project. In any case, there are a number of general rules to observe when designing your evaluation plan.

Really expert evaluation requires a good grasp of statistics and of experimental design; the evaluation is useless if it is not objective and based on quantifiable facts. Consult your Regional Planning Agency or County Extension Service for advice on sampling, data analysis, etc. (You might do this in conjunction with identifying your needs; see pp. 15 and 34.) Evaluation should also be an ongoing process; it should begin with the project, and should indicate not only whether it is a success or a failure, but also how it can be effectively modified. The evaluation process should control quality and quantity during the process, as well as assess the final impact of the product.

In order to design an effective evaluation plan, you must know exactly who your target group is and what their "starting" condition is; your statement of need should provide you with that information. Similarly, if your objectives are specific and easily quantifiable, you should have little trouble in determining what criteria to use in your evaluation. A time line depicting all project activities and where you hope to be at particular dates can also help you to continuously measure the success of your project.

Keep in mind the concepts of primary and secondary benefits discussed in the "Idea Development" section (p. 7). You will save yourself a lot of trouble at the end of your project if you know at the outset exactly what benefits you intend to measure, and how you intend to measure them. Almost every activity has a "ripple" effect — nothing is done in complete isolation. Determine at the beginning how far-reaching you expect your project to be within a specific period of time, and choose particular areas (or populations) to focus upon in your evaluation. Indicate your awareness of other possible impacts, however, and explain why you have chosen to delimit the scope of your evaluation.

Whatever type of evaluation plan you decide on, it should provide, at least, for the following:

- (1) Review of objectives throughout the project — are they being accomplished, and are they still relevant?
- (2) Measurement instruments — statistics, graphs, etc.
- (3) Data collection procedures — surveys, public records, etc.

- (4) Data analysis procedures.
- (5) Reporting procedures. The report(s) of your evaluation results should include:
  - (a) Brief project description.
  - (b) Concise statement of objectives and procedures.
  - (c) Present status report of the project.
  - (d) Explanation of how the evaluation was conducted (what the conditions were.)
  - (e) An explanation of your sampling error, if you computed one.
  - (f) Cost/effectiveness data.
  - (g) Summary and conclusions.

As a final note, you might consider the possibility of an outside organization doing the evaluation for you. If you choose a reputable group (perhaps some sort of volunteer social service agency), it can greatly add to your own credibility and assure the granting agency that you are confident of your project and objective in your evaluation.



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# Grant Information Resources

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## PRIMARY SOURCES OF INFORMATION ON FUNDING IN MASSACHUSETTS

The addresses and phone numbers of agencies and individuals referred to in this section may be found in the Directory, p. 52. Publications cited are free unless otherwise specified.

### Agencies:

#### Federal Regional Councils

The U.S. is currently divided into ten standard administrative regions, each with a designated headquarters city. Federal Regional Councils (one for each region) were established by the President in 1972 to coordinate federal, state, and local planning and programs; although there is a possibility that these Councils will be abolished in the future, they will continue to function till at least September, 1978.

Federal Regional Councils are composed of the principal regional officials of the Departments of Health, Education, and Welfare; Labor; Housing and Urban Development; Agriculture; Interior; Commerce; Transportation; Community Services Administration (OEO); Environmental Protection Agency; Law Enforcement Assistance Administration; and Federal Energy Administration.

The Federal Regional Council in New England maintains an F.R.C. Hotline phone specifically to answer questions about federal domestic assistance programs. The Hotline staff is extremely friendly and helpful; if they can't answer your question, they will find someone who can, and quickly. The F.R.C. Hotline phone number is: (617) 223-6646.

#### Federal Information Center

The Federal Information Center will answer general questions about federal agencies, and supply you with names, addresses, and phone numbers. As a rule, however, you will waste less time going directly to the Federal Regional Council for information about grant programs.

#### The Government Bookstore

The Government Bookstore in Boston is the local representative of the Superintendent of Documents and the Government Printing Office. You can obtain many of the same documents, publications, and subscriptions from them that you can from the central office in Washington.



## Federal Depository Libraries

The Federal government has designated certain libraries in each state and territory of the U.S. to act as depositories for selected government publications. The key word here is "selected"; none of the libraries receives all of the federal publications which are available, and distribution is quite varied among the different depositories.

Every one of the libraries should contain major publications, such as the *Catalog*, the *Budget*, etc. Large municipal and university libraries usually receive a much larger volume of publications than do the smaller ones. If you are interested in a particular pamphlet or circular, however, it might be less frustrating and time-consuming to order it directly from the Government Bookstore than to look for it in a Federal Depository Library.

Following is a list of the Federal Depository Libraries in Massachusetts:

Amherst	Amherst College Library University of Massachusetts, Goodell Library
Belmont	Belmont Memorial Library
Boston	Boston Athenaeum Library Boston College, Bapst Library Boston Public Library REGIONAL Northeastern University, Dodge Library State Library of Massachusetts
Brookline	Public Library of Brookline
Cambridge	Harvard College Library Massachusetts Institute of Technology Libraries
Chicopee	Our Lady of the Elms College Library
Lowell	Lowell Technological Institute, Alumni Memorial Library
Lynn	Lynn Public Library
Marlborough	Marlborough Public Library
Medford	Tufts University Library
Milton	Curry College Library
New Bedford	New Bedford Free Public Library
North Dartmouth	Southeastern Massachusetts University Library
North Easton	Stonehill College, Cushing-Martin Library
Springfield	Springfield City Library
Waltham	Brandeis University, Goldfarb Library
Wellesley	Wellesley College Library
Wenham	Gordon College, Winn Library
Williamstown	Williams College Library
Worcester	American Antiquarian Society Library University of Massachusetts, Medical Center Library Worcester Public Library

## Publications:

### Catalog of Federal Domestic Assistance

The *Catalog of Federal Domestic Assistance* is published annually by the Office of Management and Budget, and contains information on over 1000 assistance programs. Though the *Catalog* does not list all federal programs, it is the single most comprehensive resource for grant writers. Familiarity with the *Catalog* is an absolutely necessary prerequisite for grant-writing. It contains information on types of programs, sponsoring agencies, eligibility requirements, application and award procedures and deadlines, as well as on other sources of information and contacts.

The *Catalog* is divided into five main sections: Introductory materials, Indexes, Program Changes, Program Descriptions, and Appendices.

The grant programs themselves are further indexed by sponsoring agency, applicant eligibility (for private individuals and non-profit organizations, and for state and local agencies), function, subject (a more detailed cross-referencing by function), and popular name.

The bulk of the *Catalog* is comprised of program descriptions, which are listed by department and agency. The key to the listing of program descriptions is its five digit numbering system. The first two numbers refer to the sponsoring department or agency, the third number to the specific agency administering the program, and the last two numbers to the specific program within the agency.

Another of the *Catalog's* helpful features is a listing, in Appendix I, of programs for which OMB A-95, FMC 74-4, and 74-7, TC 1082, and Environmental Impact Statements are mandatory. (See p. 32, this publication, for a discussion of Federal Circulars, and p. 10 for a more detailed discussion of A-95 review.)

The *Catalog* also contains, in Appendix III, a list of commonly used abbreviations and acronyms, an invaluable aid to understanding government jargon.

The *Catalog* may be ordered from the Superintendent of Documents in Washington; it costs \$18. per subscription, which entitles you to the basic manual and all changes issued for one year. Your County Cooperative Extension Office should also have a copy of the *Catalog*, as should state and local offices, federal depository libraries, and college or university libraries.

### FAPRS

Though the *Catalog* is an indispensable tool for any grant writer, it is difficult to quickly find all of the specific programs for which you might be eligible. The United States Department of Agriculture has computerized the index of the *Catalog* to rapidly search for all of the programs which pertain to local government. This service is called FAPRS — Federal Assistance Programs Retrieval System — and is made available to the general public, in New England, by the Cooperative Extension Service. Most of the 1100 programs in the *Catalog* are included in FAPRS, and records of the programs are updated monthly. Further information

and FAPRS search requests can be obtained from your County Cooperative Extension Office, or contact George McDowell, Extension Economist, at UMass, Amherst.

### The Federal Register

The *Federal Register* is published daily by the Government Printing Office, and contains information on new grant programs, federal agency regulations, changes in existing programs, and other legal business of the executive branch. It can also be ordered from the Government Bookstore in Boston; a one-year subscription is \$50. The *Register* is also available at Federal Information Centers and Federal Depository Libraries.

### Commerce Business Daily

*Commerce Business Daily* is a government daily newspaper which contains, among other things, R.F.P.'s (Requests for Proposals) from federal agencies sponsoring grant programs. It is available by subscription through the Government Bookstore in Boston for \$105/year, and may also be found in most Federal Depository Libraries.

### Federal Aids to Local Governments

*Federal Aids to Local Governments* is a kind of simplified version of the *Catalog*, published by the National League of Cities. It contains none of the introductory material found in the *Catalog*, and indexes grant programs by Agency and Subject only. It is, however, a useful secondary source of information once you have narrowed your prospects down to a manageable number. There is a brief description and history of each agency preceding the program description, followed by much of the same information found in the *Catalog*, but in laymen's terms. Of particular interest are the "Grant Management" and "Problems" sections; they point out the pitfalls, redtape, and other complications you might otherwise not be aware of until it's too late. *Federal Aids* also lists case studies done on individual grant programs, as well as all other related literature. In addition, it contains a lengthy directory of federal and regional agencies and officials after the program descriptions.

*Federal Aids* is updated quarterly and biweekly, and may be ordered from the NLC-U.S. Conference of Mayors, 1612 King Street, N.W., Washington, D.C. 20006. Check the reference section of college and university libraries for copies, too.

## FOLLOWING THE TREND OF FEDERAL FUNDING

While investigating potential sources of federal assistance, it is important to examine not only agencies, programs and regulations, but also the current trends in funding. Federal grant programs generally reflect the mood of the granting agencies with regard to problems or new ideas; what was in vogue last year may be passé today. However vital your grant program may seem to you, if an exorbitant amount of federal money has already been spent on similar projects — particularly unsuccessful ones — your chances of success may be lessened. Don't let prior

competition deter you if you feel your program is still necessary, but do contact other grantees whose proposals and programs have been successful to compare notes; personal contacts and word-of-mouth sources very often yield the most valuable insights and information.

The following publications can also assist you in discerning patterns in federal funding:

### Federal Aid to States

*Federal Aid to States* is an annual publication of the Department of the Treasury, containing fiscal year data on federal aid payments to State and local governments on a cash payment or comparable basis. It is tabulated by state and by major program, and provides totals for each state for the five preceding years. It is available on request from the Department of the Treasury.

### The Report of Federal Outlays

The term "outlays" refers to all assistance payments, federal employment, procurement, and administrative expenses. *The Report of Federal Outlays* documents the expenditures of all Executive Branch Agencies by state, county, and city over 25,000 population. It consists of one volume for each state and a National Summary volume. Each state volume shows the dollars spent by each federal agency and the purposes for which they were spent; the report also records the impact of federal expenditures or other programs, such as loan guarantees. Each volume contains helpful introductory information and explanations of dollar amounts. The reports are widely available to all levels of government, including Federal Regional Councils, state offices, and principal officials of larger units of local government. Copies are also available in hard copy or microfiche from the National Technical Information Service, Springfield.

### The U.S. Budget, Special Analyses and Appendix

Each January, the President submits his proposed budget for the coming fiscal year to the Congress. The *Budget* shows the funding levels for the prior year, current year, and the proposal for the coming budget year. In some cases, the budget accounts are the same as those for federal programs listed in the *Catalog of Federal Domestic Assistance*. More often, however, a budget account funds more than one *Catalog* program and in a few cases, more than one budget account funds one *Catalog* program. In spite of the lack of a one-to-one relationship between *Catalog* programs and budget accounts, the *Budget* can give a general indication of the proposed funding for most *Catalog* program accounts.

A companion document to the *Budget* is the *Budget Special Analyses*. This contains information on federal education, manpower, health, income security, civil rights, crime reduction programs, and a chapter entitled "Federal Aid to State and Local Governments." Other subjects in this volume that are of potential interest to state and local governments include federal civilian employment, and environmental, credit, research and development, and statistical programs.

A second companion to the *Budget* is the *Appendix*. This is the most detailed document on the federal budget. While not on a one-to-one basis with the *Catalog*



programs, the *Appendix* provides a detailed picture of all projected federal operations. Data for each account are shown for its major constituent programs, and a short narrative description of the proposed funding is provided.

Note: It should be remembered that the budget year amounts are those proposed by the President. The actual amounts to become available are not known until the Congress completes action on the various spending bills and the President signs them (or his veto is overridden). All three documents are available from the Superintendent of Documents, and are also in Federal Depository Libraries.

#### Financial Assistance by Geographic Area

This booklet is published and updated biannually by the Department of Health, Education, and Welfare. It gives dollar amounts for specific projects in cities and towns throughout the country. It is available to anyone on request from the Boston Regional Office of the Department of Health, Education, and Welfare.

## POLICY CIRCULARS AND REGULATIONS CONCERNING FEDERAL GRANTS

The federal government has an official policy on almost everything it does, and federal grant programs are no exception to this rule. Management policies that affect grantees (and potential grantees) stem from Congressional legislation and may be developed in relation to individual programs, or may be designed to streamline assistance programs in general.

For the most part, federal regulations and policies pertain to the management of grant programs once an award has been made, although there are a number of policy circulars pertaining to grant application procedures. In any case, it can only benefit grant writers to be aware of the existence of federal policies concerning grant management, and to indicate in their proposals that they are prepared to act in accordance with such policies and regulations.

Following is a brief description of the more pertinent policy circulars, and of general sources of information on federal regulations.

#### Federal Policy Circulars

Matters of federal policy concerning management and coordination of assistance programs are usually disseminated through Office of Management and Budget (OMB) Circulars or Federal Management Circulars (FMC). The policies themselves are thereafter referred to as "OMB A- (no. of specific circular)" or "FMC (no.)"<sup>9</sup> Thus, a directive might read: "OMB A-95 is mandatory for all proposed federal

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<sup>9</sup>Note: Circulars which originated as "OMB" are sometimes reissued as "FMC," with different numbers. (In particular, OMB A-87 has become FMC 74-4, and OMB A-102 is now FMC 74-7.) This can be confusing if you are reading out-of-date literature, but the circulars themselves are the same.



assistance programs having an environmental impact.” This simply means that the policies and procedures detailed in OMB A-95 must be followed.

Policy Circulars which directly affect grant writers are:

- OMB A-95 — Evaluation, Review, and Coordination of Federal and Federally Assisted Programs and Projects. Many federal grant programs require that applications undergo review by state and local clearinghouses before being submitted to the appropriate federal agency for final review. This process is discussed in more detail in Section VII, “Formal Preapplication.”
- FMC 74-4 — Cost Principles Applicable to Grants and Contracts with State and Local Governments. State clearinghouses in Massachusetts require that the budget sections of proposals undergoing A-95 review adhere to FMC 74-4 policies.
- FMC 74-7 — Uniform Administrative Requirements for Grant-in-Aid to State and Local Governments. This circular covers a much broader range of activities than FMC 74-4, and is similarly mandatory for proposals requiring A-95 review.

#### Treasury Circular 1082

TC-1082 prescribes the standard procedures which must be followed by federal agencies for notifying state governments of grants-in-aid made to them or to units of local government within their boundaries. Theoretically, notification of awards (on Standard Form 424) is sent to the “State Central Information Reception Agency” (SCIRA). In Massachusetts the SCIRA is the Office of Federal/State Resources.

Policy Circulars pertaining to the management of grant programs after an award has been made are:

Circular:	Concerns:
OMB A-40	Reporting of Data
OMB A-46	Use of Statistics
FMC 73-2	Auditing
FMC 74-4	Cost Principles
FMC 74-7	Administration
FMC 74-8	Relocation and Property Acquisition

#### Federal Regulations :

##### The Code of Federal Regulations

The *CFR* is actually a special edition of the *Federal Register*; it consolidates into one source all new federal regulations, existing regulations, and changes in

existing regulations. The distinction between the two is that the *Register* publishes all actual and *proposed* policy and regulation changes for comment by any interested parties, while the *CFR* publishes only those regulations which are in force. The *CFR* is available by subscription from the Government Bookstore or the Superintendent of Documents but it costs \$350/year. (It is updated more or less constantly.) It is, however, available in Federal Depository Libraries.

#### The U.S. Government Manual

The *U.S. Government Manual* is the official handbook of the federal government. It is published annually, and includes information on all branches of the federal government, including detailed information on federal agencies and departments. The *Manual* also has a special section entitled "Guide to Government Information," which describes (among other things), the major publications of interest to grant writers. The *Manual* can be ordered from the Superintendent of documents in Washington, or from the Government Bookstore in Boston.

### DOCUMENTATION OF NEEDS — SOURCES OF FACTS AND STATISTICS ABOUT YOUR TOWN OR AREA

#### U.S. Bureau of the Census

— The U.S. Bureau of the Census, Data User Services Division, in Boston can be a goldmine of information and statistics, as well as instruction on how to use them. Below are listed just a few of their publications:

#### *Environmental/Socio-Economic Data Sources* \$1.50

(PABA-1 supplement, published by the United States Air Force, Directorate, Engineering and Services) but distributed by the U.S. Dept. of Commerce, Bureau of Census. Best guide to Census information particularly for small towns. Informally written.

#### *Reference Manual on Population and Housing Statistics from the Census Bureau* \$2.00

Order from the Subscribers Services Section, Publications, of the Bureau of the Census in Washington.

#### *Census of Population: 1970, General Social and Economic Characteristics (Massachusetts)* \$3.25

Comprehensive data for the state, its counties, and its municipalities; separate figures for minority and rural populations. For some reason, this publication is unavailable through either the Data User Services or the Boston Government Bookstore, and must be ordered from the Superintendent of Documents in Washington.

#### *Census of Population: 1970, General Population Characteristics (Massachusetts)* \$1.75

More detailed breakdown of population by race, sex, age, family, marital sta-

tus, etc. Includes (limited) data for townships as small as population 1,000. Also must be ordered from the Superintendent of Documents, Washington.

*Census Data for Community Action* \$.50

How to use census data to effect local change. May be ordered through the Subscriber Services Section, Bureau of the Census.

*Bureau of the Census Guide to Programs and Publications* \$2.45

Bibliography and index by geographic area of Census publications. Order from the Superintendent of Documents, Washington.

*Reference Manual on Population and Housing Statistics from the Census Bureau* \$2.00

Actually contains information on quite a bit more than population and housing. May be ordered from the Data User Services, Boston.

*Publications Announcements Series*

Brief descriptions of and special order forms for new Census Bureau publications. To be placed on this mailing list, write to the Public Documents Distribution Center in Philadelphia.

The User Training Branch of the Census Bureau's Data User Services Division recently conducted a pilot workshop in Washington on "Uses and Application of Census Bureau Data to Meet Current Legislative and Administrative Requirements." This service was designed specifically to facilitate the use of Census Bureau statistics in federal grant proposals. There is a strong possibility that workshops of this nature will be held in the Boston area in the future. For more information (or for information on any Census Bureau publications), contact Judith W. Cohen, Officer of the Census Bureau's Data User Services.

Massachusetts Department of Commerce and Development

*Town and City Monographs*

The Massachusetts Department of Commerce and Development publishes four to five page socioeconomic profiles called "Monographs," on each municipality, county and SMSA (Standard Metropolitan Statistical Area) in Massachusetts.

*Monograph — The Commonwealth of Massachusetts*

A comprehensive demographic outline of the state as a whole.

U.S. Department of Labor

*New England Labor and the Economy at the Year-end, 1976*

Published by the U.S. Department of Labor, Bureau of Labor Statistics, New England Regional Office. While this publication contains only general statistics for New England, it is a brief, comprehensive, and interesting report on the economy.

## Massachusetts Office of Local Assistance

The Office of Local Assistance (a subdivision of the Massachusetts Department of Community Affairs) functions specifically to provide technical assistance and informational services to Massachusetts local governments. OLA staff specialists in community planning, public administration, municipal finance, and related fields can provide you with the following kinds of assistance: (1) policy advocacy at the state level, (2) technical assistance on local planning and management issues, and (3) liaison between state and local government. They have also published 15 case studies on different topics of interest to local communities, such as the revitalization of central business districts and the modernization of local government. A small booklet, *Office of Local Assistance, A Guide to Programs, Personnel, and Publications*, will tell you everything you need to know about their services. See the Directory for address and phone number.

## Office of State Planning

### *State Growth Policy Report*

Available through the Office of State Planning in October or November, 1977. Contains information on housing, industry, water quality, taxes, land use, etc. (Warning: you may find this publication to be biased against growth for rural districts.)

### *Projections for Employment*

Available through the Office of State Planning; labor statistics in Massachusetts by Regional Planning Area.

### *County and City Data Book — 1972*

Comprehensive listing of statistics from all major censuses for counties and cities over 25,000 population in the U.S. Available at the Boston Government Bookstore. (A 1977 or '78 edition should be available soon.)

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# Appendix

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The Appendix contains sample letters of inquiry to use at different stages of the grant-writing process; a sample "Technical Review Form" used by the Office of Education to "rate" grant applications; and a sample "Notification of Intent" form, used to notify Regional Planning Agencies and the Office of State Planning of proposed projects requiring A-95 review. In addition, the Appendix contains a supplementary bibliography and a directory.



## INITIAL INQUIRY

Date

Dear \_\_\_\_\_,

I am interested in exploring the possibility of submitting a proposal in the area of \_\_\_\_\_ .  
I am in the process of developing a program that (brief description).

At this point, I would like some guidance from your office. If you believe that this project is eligible to receive support under one of your programs, I would appreciate your forwarding to me a formal application and any additional information that would be of assistance.

I would also appreciate information on any additional funding sources that might be appropriate for this type of program.

Sincerely,

Title

## LETTER SOLICITING APPLICATION

Date

Dear \_\_\_\_\_ ,

I am interested in developing a program in the area of \_\_\_\_\_ .  
I am in the process of developing a proposal under \_\_\_\_\_ .  
(name of program)

I would appreciate your forwarding to me a formal application and other additional information that would be of assistance in applying for funds.

Sincerely,

Title

## MODEL LETTER ACCOMPANYING ABSTRACT

Date

Dear \_\_\_\_\_,

I am enclosing an abstract of a proposal that I am developing under your \_\_\_\_\_ program. I would appreciate your review, criticisms and comments of the abstract before I complete the final proposal.

Also, I would appreciate your forwarding to me a formal application and any additional information that would be of assistance in completing the proposal.

Sincerely,

Title

**DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE  
OFFICE OF EDUCATION**

**Application Technical Review Form**

*Upward Bound*

(CFDA No. 13.492)

Field Reader	Telephone Number
Program Officer	Telephone Number
Project Applicant	Application Number

**INSTRUCTIONS:**

This form is furnished for your use in evaluating the attached proposal. Please fill in all pages and return the entire form to us; be as thorough and explicit as possible in your responses. We are requesting your professional evaluation of the applicant's plans; specify strengths and weaknesses. If you have any questions concerning the proposal, please contact the Program Officer.

**SUMMARY RATINGS**

	Maximum Points	Percent of Total
1. Need .....	70	35%
2. Project Design .....	60	30%
3. Resources .....	60	30%
4. Budget .....	10	5%
TOTAL .....	200	100%

**RECOMMENDATION**

Place an "X" in the box which best represents your recommendation concerning the disposition of the attached proposal.

<input type="checkbox"/> <b>RECOMMENDED FOR FUNDING</b>	<input type="checkbox"/> <b>PROVISIONALLY RECOMMENDED FOR FUNDING</b> (specify provisions or modifications needed)	<input type="checkbox"/> <b>NOT RECOMMENDED FOR FUNDING</b>
---	--	---

I have reviewed the application in accordance with the "Scope of Work" that has been signed and returned to the Office of Education.

\_\_\_\_\_  
Signature of Field Reader

\_\_\_\_\_  
Date

These are OE's Review Criteria:

APPLICATION TECHNICAL REVIEW FORM

Program Title: USOE Discretionary Grant Program  
Catalog of Federal Assistance Number 13.599

APPLICANT: \_\_\_\_\_ PR Number \_\_\_\_\_

NAME: \_\_\_\_\_

ADDRESS: \_\_\_\_\_

CITY/STATE \_\_\_\_\_ ZIP CODE \_\_\_\_\_

Technical Reviewer

Name \_\_\_\_\_

Phone \_\_\_\_\_

Program Title \_\_\_\_\_

Project Title \_\_\_\_\_

COMMENTS: Recommend Federal Support Yes \_\_\_\_\_ No \_\_\_\_\_

Date Reviewed \_\_\_\_\_ Signature \_\_\_\_\_



EVALUATION CRITERIA	Yes	No	Comments	(Optional %) Weight Factor
ORGANIZATION — Describe the applicant's background, facilities and personnel expertise as it relates to performing the proposed project.				
1. Are the qualifications and experience of applicant's personnel adequate to carry out the proposed project?				
2. Are applicant's facilities and other resources adequate?				
3. Published Application Review Criteria				
PROGRAMMATIC — Define all the work and related resources required to perform the applicant's proposed project pursuant to the applicable regulations.				
1. Is the proposed activity needed in the area served or to be served by the applicant?				
2. Is the proposal relevant to priority areas of concern as reflected in provisions contained in the applicable Federal statutes and regulations?				
3. Is there potential for utilizing the results of the proposed project in other projects or programs for similar educational purposes?				
4. Are the size, scope and duration of the project sufficient in order to secure productive results?				
5. Are the objectives of the proposed project sharply defined and clearly stated?				
6. Published Application Review Criteria				

COMMENTS:

EVALUATION CRITERIA	Yes	No	Comments	(Optional %) Weight Factor
MANAGEMENT — Identify the applicant's organizational elements, and describe how they function internally, including subcontracts, to insure the project is accomplished within the time limits and resources available.				
1. Is the proposed plan of operation sound? Consideration of soundness should include the following points:				
Are the objects of the project capable of being attained by the proposed procedures and capable of being measured?				
Are provisions made for adequate evaluation of the effectiveness of the project and for determining the extent to which the objectives are accomplished?				
Where appropriate, are provisions made for satisfactory inservice training connected with project services? and,				
Are provisions made for disseminating the results of the project and for making materials, techniques, and other output resulting therefrom available to the general public and specifically to all those concerned with the area of education with which the project is itself concerned?				
2. Published Application Review Criteria				
FINANCE & ACCOUNTING — Provide adequate project cost details to support the proposed budget in relation to the anticipated end results.				
1. Is the estimated cost reasonable to the anticipated results?				

COMMENTS:

APPLICATION TECHNICAL REVIEW FORM — UPWARD BOUND

4. BUDGET: THE APPROPRIATE ALLOCATION OF FEDERAL DOLLARS  
TO SUPPORT THE SPECIFIC ACTIVITIES  
(Maximum of 10 points — 5% of total)

---

A. Does the proposed budget reflect the activities to be undertaken?

Yes ☐ No ☐ To what extent? (45 CFR 155.8(c)(4)(ii))

---

B. Are the resources allocated reasonably among the proposed project activities?

Yes ☐ No ☐ To what extent? (45 CFR 155.8(c)(4)(i))

---

C. Are the estimated costs reasonable in relation to anticipated results?

Yes ☐ No ☐ Comment: (45 CFR 100a.26(b)(5))

APPLICATION NUMBER

APPLICATION TECHNICAL REVIEW FORM — UPWARD BOUND

---

GENERAL SUMMARY STATEMENT:

---

STRENGTHS:

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WEAKNESSES:

## NOTICE OF INTENT FORM

To apply for federal funds for programs covered by the Office of Management and Budget (OMB)

Circular A-95

*To be filed at least 30 days prior to submission to federal agency*

### APPLICANT

Name \_\_\_\_\_

Address \_\_\_\_\_

Telephone Number \_\_\_\_\_

Name and title of person to receive correspondence \_\_\_\_\_

Name and title of contact person (if different) \_\_\_\_\_

### PROJECT

Title \_\_\_\_\_

Location of project/impact area \_\_\_\_\_

Starting date and project duration \_\_\_\_\_

### FUNDING AGENCY

Name \_\_\_\_\_

Federal Catalogue Program Number \_\_\_\_\_

Estimated date of submission to federal agency \_\_\_\_\_

### FUNDING REQUEST

Federal \_\_\_\_\_

State \_\_\_\_\_

Local \_\_\_\_\_

Other \_\_\_\_\_

Total \_\_\_\_\_

### PROJECT SUMMARY

Please include at a minimum: narrative description of project, budget and/or cost estimate, and locus map (where applicable). The narrative might include a statement of need, program objectives, coordination with other agencies, citizen involvement, past performance (in the case of continuing programs), and environmental assessment where appropriate. (Use additional sheets where necessary.)

Sent to OSP and \_\_\_\_\_ on \_\_\_\_\_

(Name of Regional Clearinghouse)

(Date)

Prepared by \_\_\_\_\_

(Type or Print Name)

(Signature)

### NOTE

Send white copy to State Clearinghouse, Office of State Planning, Room 2101, One Ashburton Place, Boston, MA 02108. (Phone (617) 727-4154). Send yellow copy to Regional Clearinghouse, retain pink copy for your records.

To be filled in by State Clearinghouse SCI \_\_\_\_\_



## SUPPLEMENTARY BIBLIOGRAPHY

Churchman, C. West. *The Systems Approach*. NY: Dell Publishing Co., 1968. Introductory work on systems analysis; easy to understand.

Dermer, Joseph. *How to Write Successful Foundation Presentations*. Public Service Materials Center, 104 East 40th St., New York, NY 10016.

Donahue, Daniel F., and Levitan, Donald. *An Introduction to the OMB Catalog*. Government Research Publications, Box 122, Newton Centre, MA 02159. How to read, understand and use the "Wish-Book."

The Foundation Center, 100 Connecticut Ave., NW, Washington, DC 20036. Located throughout the U.S. with over thirty "branch" libraries, other libraries, and depositories with space devoted to foundation grantsmanship. Contact them for the location nearest you.

*The Foundation Directory*. New York: Columbia University Press, 136 South Broadway, Irvington-on-Hudson, NY 10533. Published yearly; lists foundations, officers, fields of interest, income, and grant totals. There is also a quarterly update titled *Foundation Center Information Quarterly* and screened computer print-outs of specific grant awards.

*The Foundation News*. The Council on Foundations, PO Box 763, Old Chelsea Station, New York, NY 10011. Bimonthly; articles of interest on foundations and grants.

*Foundation Reporter*. Taft Information System, Taft Products, Suite 600, 1000 Vermont Avenue, NW, Washington, DC 20005. Guide to philanthropic organizations and their activities.

*Giving USA*. New York: American Association of Fund Raising Counsel, Inc., 500 Fifth Avenue, NY 10036. Annual; assistance in applying for grants. Also publishes a monthly bulletin reporting on selected recent grants, plus news on grantsmanship.

*The Grantsmanship Center News*. The Grantsmanship Center, 7815 South Vermont Ave., Los Angeles, CA 90044. Published eight times yearly; articles and sources of both private and public funding sources.

Grisham, Roy D. Jr., and McConalughty, Paul D., editors. *The Encyclopedia of U.S. Government Benefits*, 2nd ed. New York, NY: Avon Books, 1975.

Hall, Mary. *Developing Skills in Proposal Writing*. Continuing Education Publications, Waldo 100, Corvallis, OR 97331.

Hook, Lucile, and Gaver, Mary Virginia. *The Research Paper: Gathering Library Material, Organizing and Preparing the Manuscript*, 4th ed. Englewood Cliffs, NJ: Prentice-Hall, 1969.

Kotler, Philip. *Marketing for Non-Profit Organizations*. Prentice-Hall, New Jersey, 1975.

La Case and Belanger. *How to Write Effectively About Almost Anything*. New York: Scribners.

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Levitan, Donald, and Donahue, Daniel F. *The Grantsmanship Bibliography*, Government Research Publications, Box 122, Newton, MA 02159, 1978. A comprehensive bibliography on grantsmanship and fund raising, both governmental and philanthropic.

Mayer, Robert F. *Preparing Instructional Objectives*. Fearon Publications, c/o Lear Siegler, Inc., 6 Davis Drive, Belmont, CA 94002.

Polk Directory, *The Urban Information System*, R.L. Polk and Co., Urban Statistical Division, Detroit, MI. Annual listing (a city directory) of populations by place of residence covering almost all municipalities in the U.S.

Shkurkin, Sergei. *By Hook or by Crook*. 6025 Rose Arbor, San Pablo, CA 94806. Grantsmanship for alternative education; has some interesting insight for all grantwriters.

Strunk, William, Jr., White, E.B. *The Elements of Style*, 2nd ed. NY: MacMillan, 1972.

Telephone Directory. Telephone directories are an excellent source of information. It is recommended that each municipality have a telephone directory for their state capital, the directories of New York City, Washington, DC, and Chicago, IL.

*Urban Affairs Reporter*. Commerce Clearing House, Inc., 4025 W. Peterson, Chicago, IL 60046. Biweekly monitoring and analysis of federal and local matters.

Warren, Ronald L. *Studying Your Community*. New York: The Free Press. An excellent resource book to aid in community analysis.

Weaver, Warren. *U.S. Philanthropic Foundations: Their History, Structure, Management and Records*. New York: Harper and Row, 1967. Good background material for all who seek succor from philanthropy.

Weiss, Carol. *Evaluating Action Programs*. New York: Allyn-Bacon, 1972. Read anything by Ms. Weiss.

Weld, Walter E. *How to Chart*. Norwood, MA: Codex Book Co.

Zip Code Directory. The proper Zip Code will help speed your mail. Consult your local U.S. Post Office.

### U.S. Government Publications

*Coordinating Federal Assistance in the Community — Use of Selected Mechanisms for Planning and Coordinating Federal Programs*. Community Development Evaluations Series No. 8, 1972, U.S. Department of Housing and Urban Development. Though prepared for the model city program, this publication is quite helpful for all communities.

*Congressional Record*. U.S. Government Printing Office, Washington, DC 20402. Published each day that one or both houses of Congress are in session. Lists all happenings.

*Digest of Public General Bills and Selected Resolutions*. Legislative Reference Service, U.S. Library of Congress, Washington, DC. Published once during each session of Congress.

*The Federal Grant Process*. U.S. Department of Housing and Urban Development, U.S. Government Printing Office, Washington, DC. Produced for model cities; worth reading. Community Development Evaluation Series No. 10, 1972.

*A Prepared Guide to Grants and Contracts With Certain Non-Profit Organizations*. Federal Register, Part IV, April 26, 1977. U.S. Government Printing Office, Washington, DC 20402.

Internal Revenue Service. Within recent years all private foundations have been required to file with IRS a form 990. Two subcategories of this form are of interest to grantsmanship; 990 AR and 990 PF. 990 AR contains the annual report and is (supposedly) identical with the foundation's annual report. These reports may be obtained at no charge by contacting the foundation. 990 PF contains the

Information Return for exempt organizations, and indicates how much money has been distributed, and to whom. A copy of either form in any foundation in the United States may be obtained for a fee by contacting: Internal Revenue Service, U.S. Department of the Treasury, Middle-Atlantic Service Center, 11601 Roosevelt Boulevard, Philadelphia, PA 19155.

Maps: Coastal, Inland Waterways, and topographical Maps, U.S. Department of the Interior and Coast and Geodetic Survey, U.S. Department of Commerce, Washington, DC. Maps covering the United States, Puerto Rico, Guam, American Samoa, and the Virgin Islands done on a quadrant basis: parallels of latitude and meridians of longitude.

*Presidential Documents*, Office of Federal Register, National Archives and Records Service, General Services Administration, Washington, DC 20408. Weekly compilation.

*Social Indicators 1977*. Office of Management and Budget, Executive Office of the President, U.S. Government Printing Office, Washington, DC 20402. Selected statistics on social conditions and trends in the United States.

*Statistical Abstract of the United States*, U.S. Bureau of the Census, U.S. Government Printing Office, Washington, DC 20402. Yearly; compendium of statistics of the U.S.

*United States Government Organization Manual*, U.S. Government Printing Office, Washington, DC 20402. Listing and description of federal agencies and departments, including legislative and judicial branches; annual.

## DIRECTORY

Census, U.S. Bureau of:  
Subscribers Services Section, Publications  
Washington, DC 20233

Data User Services  
User Training Division Branch  
Boston, MA 02116  
Telephone (617) 223-0668

Cohen, Judith W.  
Data User Officer  
Data User Services  
User Training Division Branch  
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Commerce and Development, Massachusetts Department of  
100 Cambridge Street  
Boston, MA 02202  
Telephone (617) 727-3232

Danforth, Kirk  
Office of State Planning  
One Ashburton Place  
Boston, MA 02108  
Telephone (617) 727-5066

Federal Contract Compliance, Office of  
U.S. Department of Labor  
J.F.K. Building  
Boston, MA 02203  
Telephone (617) 233-5272

Federal Information Center,  
Boston, MA  
Telephone (617) 223-7121

Federal Regional Council of New England  
Room E-431  
J.F.K. Building  
Boston, MA 02203  
Hotline Telephone No. (617) 223-6646



Federal State Resources  
(State Central Information Reception Agency)  
540 State House  
Boston, MA 02233  
Telephone (617) 727-4178

Government Bookstore, Boston, MA  
Room G-25  
J.F.K. Building  
Boston, MA 02203  
Telephone (617) 223-6071

Health, Education, and Welfare, U.S. Department of  
Regional Office  
J.F.K. Building  
Boston, MA 02203  
Telephone (617) 223-7205

Labor, U.S. Department of  
Labor Statistics Bureau  
J.F.K. Building  
Boston, MA 02203  
Telephone (617) 223-6761

Local Assistance, Massachusetts Office of  
One Ashburton Place  
Room 1619  
Boston, MA 02108  
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(For assistance, information, and referral services to local  
officials on community development problems)  
(617) 727-6964  
Toll Free 1-800-392-6445

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Extension Economist  
312 Draper Hall  
University of Massachusetts,  
Amherst, MA 01003  
Telephone (413) 545-2496

National Technical Information Service  
Springfield, VA 22151

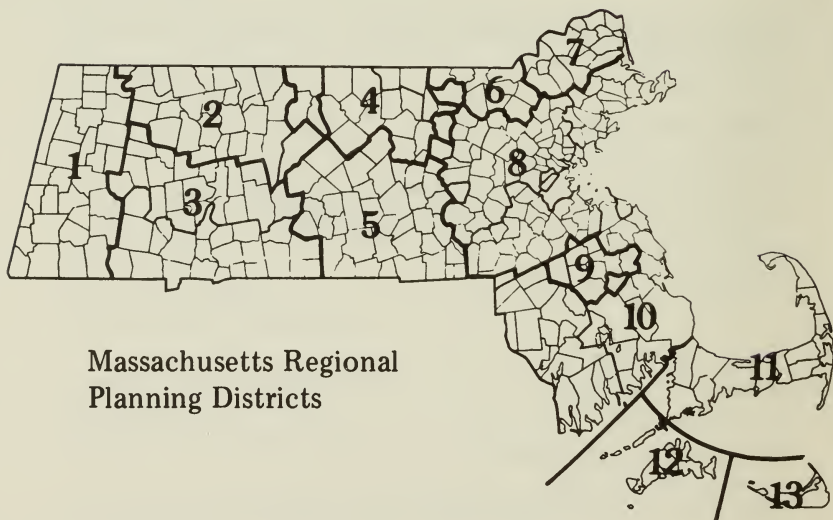
NLC — US Conference of Mayors  
1612 King Street, N.W.  
Washington, DC 20006

Public Documents Distribution Center  
5801 Tabor Avenue  
Philadelphia, PA 19120

State Planning, Office of  
One Ashburton Place  
Boston, MA 02108  
Telephone (617) 727-5066

Superintendent of Documents  
U.S. Government Printing Office  
Washington, DC 20402

Treasury, U.S. Department of  
Bureau of Government Financial Operations  
Division of Government Accounts and Reports  
Washington, DC 20226



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5. Central Massachusetts Regional Planning Commission  
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(617) 756-7717
6. Northern Middlesex Area Commission  
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8. Metropolitan Area Planning Council  
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10. Southeastern Regional Planning  
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11. Cape Code Planning and Economic Development Commission  
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12. Martha's Vineyard Planning  
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13. Nantucket Planning and Economic Development Commission  
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## YOUR COOPERATIVE EXTENSION SERVICE

The Massachusetts Cooperative Extension Service, financed through federal, state and county sources, provides educational leadership in agriculture and natural resources, home economics, 4-H and youth, and community resource development.

A basic goal of the Cooperative Extension Service is to help people identify and solve their problems through the practical application of research findings. To this end, information is made available through varying media such as conferences, workshops, demonstrations, and publications; the press, radio and television.

The University of Massachusetts, a land-grant institution, conducts research in many fields. Extension faculty and specialists at the University, working with county and regional Extension staff, act as information resources and as catalysts to assist individuals, families, and communities in making important decisions.

This publication is one of many developed to serve residents of the Commonwealth.

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